

PHA 5-YEAR AND ANNUAL PLAN	U.S. Department of Housing and Urban Development Office of Public and Indian Housing	OMB No. 2577-0226 Expires 4/30/2011
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1.0	PHA Information PHA Name: Vermont State Housing Authority PHA Code: VT901 PHA Type: <input type="checkbox"/> Small <input checked="" type="checkbox"/> High Performing <input type="checkbox"/> Standard <input checked="" type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): 10/01/2011					
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: _____ 0 _____ Number of HCV units: <u>3482</u>					
3.0	Submission Type <input type="checkbox"/> 5-Year and Annual Plan <input checked="" type="checkbox"/> Annual Plan Only <input type="checkbox"/> 5-Year Plan Only					
4.0 NA	PHA Consortia <input type="checkbox"/> PHA Consortia: (Check box if submitting a joint Plan and complete table below.)					
	Participating PHAs	PHA Code	Program(s) Included in the Consortia	Programs Not in the Consortia	No. of Units in Each Program	
	PHA 1:				PH	HCV
	PHA 2:					
	PHA 3:					
5.0	5-Year Plan Approved by VSHA Board of Director's on July 7, 2010. Approved by HUD on July 21, 2010					
5.1	Mission. State the PHA's Mission for serving the needs of low-income, very low-income, and extremely low income families in the PHA's jurisdiction for the next five years: "The Vermont State Housing Authority's (VSHA) core Mission is to promote and expand the supply of affordable rental and home-ownership opportunities on a statewide basis. Each new endeavor will enhance or increase the organization's capacity to continue its core Mission and to assure the effectiveness of VSHA as a provider and administrator of affordable housing programs."					
5.2	Goals and Objectives: Refer to 5-Year Plan document <u>Goals and Objectives for 2010 - 2015:</u> Goal 1. Continue to administer the Housing Choice Voucher Program, and related programs (Section 8 Moderate Rehabilitation, Section 8 PBV, Shelter plus Care and HOPWA) to meet the needs of very low and extremely low income Vermonters. Objective: 1. Apply for any new vouchers/funding. Goal 2. Increase the supply and availability of decent, safe, and affordable housing – including expanding the supply of assisted housing AND improving the quality of assisted housing. Objectives: 1. Apply for any new vouchers/funding. 2. Utilizing the project-based voucher option, create (leverage) additional units of affordable housing. 3. Actively participate in the State's discussions regarding housing and habitability and the development of a statewide minimum housing code/enforcement. Goal 3. Promote economic independence and self-sufficiency of families and individuals. Objectives: 1. Increase enrollments in VSHA's Family Self-Sufficiency program 2. Increase enrollments in VSHA's Section 8 for Homeownership program Goal 3. Ensure equal opportunity and affirmatively further fair housing. Objectives: 1. The VSHA will not, on account of race, color, creed or religion, national origin, sex, sexual orientation, gender identity, ancestry or place of birth, age, U.S. Military Veteran status, familial status, marital status, disability, or HIV status deny to any person the opportunity to apply for admission, nor deny to an eligible applicant, the opportunity to lease or rent a dwelling unit suitable to its needs. Further, in the selection of tenants, there will be no discrimination against persons otherwise eligible for admission because their income is derived whole or in part from public assistance. VSHA will not discriminate against selected tenants and discrimination by one tenant against another is unacceptable and will not be condoned. 2. Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion, national origin, sex familial status, and disability. 3. Serve on the state of Vermont's Fair Housing Committee, a committee of the Vermont Housing Council. The Fair Housing					

	<p>Committee is comprised of representatives from numerous housing agencies, the Vermont Department of Economic, Housing and Community Affairs and the Human Rights Commission and work collaboratively on fair housing initiatives and assists in identifying impediments to fair housing choice.</p> <p>4. Work with the HRC to promote Vermont's law prohibiting discrimination on the basis of receipt of public assistance, including housing assistance.</p> <p>5. Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of housing choice or unit size required.</p> <p>Goal 4. Continue Collaborative work with the Vermont Agency of Human Services around the administration of the Family Unification program, the Mainstream Housing Program, Shelter plus Care Program and AHS' HPRP Program.</p>
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PHA Plan Update

- (a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission:
(b) Identify where the 5-Year and Annual Plan may be obtained by the public:

Beginning May 20, 2011 – July 5, 2011, the Annual Plan will be available:

- For review and download from VSHA's website at www.vsha.org;
- During the hours of 9:00 a.m – 3:00 p.m. Monday – Friday, for review at the main administrative offices of the VSHA located at One Prospect Street, Montpelier, Vermont.
- To each Resident Advisory Board Member.

PHA Plan Elements (24 CFR903.7)

1. Eligibility, Selection and Admission Policies, including waiting list procedures:

Following are the policies that are being amended, along with a summary of each amendment. The full policy is contained in the Section 8 Administrative Plan.

(a) EIV System Security Policy:

- Amended policy to comply with HUD's Income Rule dated March 30, 2009;
- Amended policy to require that auditors reviewing files sign a Rules of Behavior form.

(b) Family Self-Sufficiency Program Action Plan:

- Amended plan to reflect the absorption of the Hartford Housing Authority's FSS program of 4 participants and establish new mandatory minimum program size of 169.

(c) Chapter 4, Applications, Preferences, Maintaining Waiting List & Tenant Selection:

- Amended definition of Transitional Housing Preference, to add:
 - *The State of Vermont's Housing Assistance Subsidy Program (administered by the Vermont Agency of Human Services).*

Chapter 6, Income and Subsidy Determinations:

- Minor edits to comply with HUD's EIV requirements'
- Amended asset calculation (checking accounts) to determine value based on statement, rather than six month average – as bank statement doesn't include this information).

(d) Chapter 7, Verification Procedures:

- Amended policy to reflect HUD's changes in verification requirements.

2. Financial Resources:

Vermont State Housing Authority
Schedule of Resources
Fiscal Year 2010

Federal:

Section 8 Tenant-Based Assistance Programs:	\$22,030,598
Resident Opportunity and Self-Sufficiency Grants:	249,617
Supportive Housing Program:	927,776
Shelter Plus Care Program:	1,050,014
Section 8 Project-Based Assistance Programs:	21,876,341
Property Management Fees:	944,520
Property Rental/Tenant Income:	152,005
Development Fees:	44,265
Vermont Housing Finance Agency Fees:	27,930
Miscellaneous Income:	97,530
Interest Income:	53,564
Total Sources:	\$47,454,160

6.0

	<p>3. Rent Determination. No Changes. Policies outlined in Administrative Plan.</p> <p>4. Operation and Management. NA</p> <p>5. Grievance Procedures: No Changes. Policies outlined in Administrative Plan.</p> <p>6. n/a</p> <p>7. Community Service and Self Sufficiency: VSHA administers a Family Self-Sufficiency Program, with 172 families currently enrolled. 54% of these families have escrow accounts. Amending FSS Action Plan – revised policy is attached.</p> <p>8. na</p> <p>9. na</p> <p>10. Civil rights certifications. Vermont State Housing Authority exams its programs and proposed programs to identify any impediments to fair housing choice. We address any impediments and work to implement the State's initiatives to affirmatively further fair housing. Further, VSHA is a member of the Fair Housing Committee, a committee of the Vermont Housing Council. The Fair Housing Committee is comprised of representatives from numerous housing agencies, the Vermont Department of Housing and Community Affairs and the Human Rights Commission and work collaboratively on fair housing initiatives and assists in identifying impediments to fair housing choice.</p> <p>11. Fiscal year audit: No findings</p> <p>12. na</p> <p>13. VAWA: Vermont State Housing Authority (VSHA) is committed to fully implementing the provisions of the Violence Against Women's Act signed into law on 1/5/2006. VSHA's commitment is demonstrated, in part, by a Resolution of the VSHA Board of Commissioners, dated July 2006. VSHA has implemented the use of revised forms: HUD HAP Contract (Form HUD 52641), and Tenancy Addendum (Form HUD52641A) when leasing Section 8 HCV families. Further, VSHA works closely with Vermont Legal Aid and the Vermont Network (a statewide organization that works with victims of domestic violence). Both organizations provide comments, and as a result directly influence, VSHA's Five Year/Annual Plan and Section 8 Administrative Plan. VSHA has a selection preference for application to its Housing Choice Voucher program for victims of domestic violence.</p>
7.0	<p>Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers. <i>Include statements related to these programs as applicable.</i></p> <p>VSHA operates a Section 8 Homeownership program -- we are currently assisting 74 households with mortgage assistance. VSHA's Homeownership Program policies will amended as part of this year's Annual Plan process, effective 7/6/2011.</p> <p>VSHA continues to administer a <u>Project-Based Voucher (PBV) program</u>, with a total of 599 units under HAP contract with for-profit and non-profit owners throughout the State. We are interested in expanding the PBV program; however, the existing "cap" of not more than 20% of Housing Choice Voucher units under contract with HUD, is limiting the Agency's ability to do so. VSHA intends to increase the PBV Option when programmatic and/or legislative changes allow.</p>
8.0 NA	Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable.
8.1 NA	Capital Fund Program Annual Statement/Performance and Evaluation Report. As part of the PHA 5-Year and Annual Plan, annually complete and submit the <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> , form HUD-50075.1, for each current and open CFP grant and CFFP financing.
8.2 NA	Capital Fund Program Five-Year Action Plan. As part of the submission of the Annual Plan, PHAs must complete and submit the <i>Capital Fund Program Five-Year Action Plan</i> , form HUD-50075.2, and subsequent annual updates (on a rolling basis, e.g., drop current year, and add latest year for a five year period). Large capital items must be included in the Five-Year Action Plan.
8.3 NA	<p>Capital Fund Financing Program (CFFP).</p> <p><input type="checkbox"/> Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements.</p>
9.0	<p>Housing Needs. Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location.</p> <p>1. <u>Statement of Housing Needs</u> [24 CFR Part 903.12 (b), 903.7(a)]</p> <p>The housing needs of low income individuals and families throughout Vermont are greater than ever. VSHA closed its waiting list for HCV assistance effective 9/30/2010, with 4017 applicants.</p>

A. Housing Needs of Families on the Section 8 Tenant- Based Assistance Waiting List

Housing Needs of Families on the PHA's Waiting List			
Waiting list type: Section 8 tenant-based assistance			
	# of families	% of total families	Annual Turnover
Waiting list total	3018		360-600
Extremely low income <=30% AMI	2086	69.10%	
Very low income (>30% but <=50% AMI)	704	23.32%	
Low income (>50% but <80% AMI)	10	.33%	
Families with children	1631	54%	
Elderly families	261	.65%	
Families with Disabilities	1209	40%	
Race/ethnicity - White	2579	85%	
Race/ethnicity – Black	211	7%	
Race/ethnicity – Asian	13	.43%	
Race/ethnicity – All Others	70	2.3%	
Residents in PHA's Jurisdiction	2600	86%	
Characteristics by Bedroom Size			
0 BR	2	.06%	
1 BR	1271	42%	
2 BR	1378	45.6%	
3 BR	312	10.3%	
4 BR	30	.99%	
5+BR	6	.20%	
Is the waiting list closed (select one)? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes			
If yes:			
How long has it been closed? Waiting list closed on 9/30/2010.			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes For all targeted funding programs: Family Reunification, Mainstream Housing/Housing Choice Vouchers for Non-Elderly Persons with Disabilities; Section 8 Moderate Rehabilitation, HOPWA, Shelter plus Care and Veterans Supportive Housing vouchers (VASH).			

B. Housing Needs of Families Based on State Of Vermont HUD Consolidated Plan. Draft 2010-2015 Consolidated Plan is attached as Appendix A.

VSHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan:

- VSHA participated in the consultation process organized by the Vermont Department of Economic, Housing and Community Affairs in the development of the Consolidated Plan;
- Activities to be undertaken by VSHA in the coming years are consistent with the initiatives contained in the Consolidated Plan.

C. Housing Needs of CURRENT Section 8 Housing Choice Voucher Holders

	# of families	% of total families
Total	3827	
Extremely low income <=30% AMI	1491	39%
Very low income (>30% but <=50% AMI)	402	10.5%
Low income (>50% but <80% AMI)	51	1.33%
Families with children	1354	35.4%
Elderly families	877	23%
Families with Disabilities	2326	60.8%
Race/ethnicity - White	3726	97.4%
Race/ethnicity – Black	65	1.70%
Race/ethnicity – Asian	7	.18%
Race/ethnicity – All Others	47	1.23%
Residents in PHA's Jurisdiction	3772	98.6%
Characteristics by Bedroom Size		
0 BR	125	3.3%
1 BR	1916	50%
2 BR	1144	29.9%
3 BR	583	15.2%
4 BR	51	1.3%
5+BR	3	.08%

9.1

Strategy for Addressing Housing Needs. Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. **Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.**

VSHA will apply for any new sources of funding that allow us to expand our rental assistance options -- this includes housing choice vouchers, McKinney Vento homeless funds and section 8 contract administration opportunities. Further, we will continue to collaborate with the Agency of Human Services and the Veterans Administration in the application and administration of our housing programs. Further, VSHA will fully utilize all sources of funding currently available to assist the maximum number of individuals/households possible.

	<p>Additional Information. Describe the following, as well as any additional information HUD has requested.</p> <p>(a) Progress in Meeting Mission and Goals. Provide a brief statement of the PHA's progress in meeting the mission and goals described in the 5-Year Plan.</p> <p>VSHA has met and exceeded several of the goals established in its Five-Year Plan (covering years 2010-2014). Specifically, we have increased the availability of decent, safe, and affordable housing by increasing the supply of rental vouchers (by applying for new vouchers) and consequently the number of assisted units by 357 Housing Choice Vouchers.</p> <p>We have increased enrollments our Section 8 Family Self Sufficiency Program by 5 families.</p> <p>10.0 We have increased enrollments to our Section 8 Homeownership Program by 3 families.</p> <p>VSHA staff continues to serve on the state of Vermont's Fair Housing Committee, working on fair housing initiatives and assisting in identifying impediments to fair housing choice.</p> <p>We continue to work collaboratively with the Vermont Agency of Human Services in the administration of the FUP, S+C housing programs – successfully expanding our FUP program this year by an additional 100 Housing Choice Vouchers.</p> <p>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA's definition of "significant amendment" and "substantial deviation/modification"</p> <p>Any of the following actions will be considered a "significant amendment or modification" to VSHA's Five-Year or Annual Plan:</p> <ol style="list-style-type: none"> 1. Changes in tenant-rent policies; 2. Changes to admissions policies – including the creation or elimination of any preference– and waiting list organization; 3. Additions of new activities and programs as well as the omission of any existing activity or program.
<p>11.0</p>	<p>Required Submission for HUD Field Office Review. In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. Note: Faxed copies of these documents will not be accepted by the Field Office.</p> <p>(a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights)</p> <p>(b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only)</p> <p>(c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only)</p> <p>(d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only)</p> <p>(e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only)</p> <p>(f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations.</p> <p>A meeting of the Section 8 Resident Advisory Board (RAB) was held on June 28, 2011 at the offices of the Vermont State Housing Authority. Two RAB members participated and provided verbal comments supporting the Section 8 Annual Plan.</p> <p>(g) Challenged Elements</p> <p>(h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only)</p> <p>(i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)</p>

This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937, as amended, which introduced 5-Year and Annual PHA Plans. The 5-Year and Annual PHA plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission and strategies for serving the needs of low-income and very low-income families. This form is to be used by all PHA types for submission of the 5-Year and Annual Plans to HUD. Public reporting burden for this information collection is estimated to average 12.68 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not collect this information, and respondents are not required to complete this form, unless it displays a currently valid OMB Control Number.

Privacy Act Notice. The United States Department of Housing and Urban Development is authorized to solicit the information requested in this form by virtue of Title 12, U.S. Code, Section 1701 et seq., and regulations promulgated thereunder at Title 12, Code of Federal Regulations. Responses to the collection of information are required to obtain a benefit or to retain a benefit. The information requested does not lend itself to confidentiality

Instructions form HUD-50075

Applicability. This form is to be used by all Public Housing Agencies (PHAs) with Fiscal Year beginning April 1, 2008 for the submission of their 5-Year and Annual Plan in accordance with 24 CFR Part 903. The previous version may be used only through April 30, 2008.

1.0 PHA Information

Include the full PHA name, PHA code, PHA type, and PHA Fiscal Year Beginning (MM/YYYY).

2.0 Inventory

Under each program, enter the number of Annual Contributions Contract (ACC) Public Housing (PH) and Section 8 units (HCV).

3.0 Submission Type

Indicate whether this submission is for an Annual and Five Year Plan, Annual Plan only, or 5-Year Plan only.

4.0 PHA Consortia

Check box if submitting a Joint PHA Plan and complete the table.

5.0 Five-Year Plan

Identify the PHA's Mission, Goals and/or Objectives (24 CFR 903.6). Complete only at 5-Year update.

5.1 Mission. A statement of the mission of the public housing agency for serving the needs of low-income, very low-income, and extremely low-income families in the jurisdiction of the PHA during the years covered under the plan.

5.2 Goals and Objectives. Identify quantifiable goals and objectives that will enable the PHA to serve the needs of low income, very low-income, and extremely low-income families.

6.0 PHA Plan Update. In addition to the items captured in the Plan template, PHAs must have the elements listed below readily available to the public. Additionally, a PHA must:

- (a) Identify specifically which plan elements have been revised since the PHA's prior plan submission.
- (b) Identify where the 5-Year and Annual Plan may be obtained by the public. At a minimum, PHAs must post PHA Plans, including updates, at each Asset Management Project (AMP) and main office or central office of the PHA. PHAs are strongly encouraged to post complete PHA Plans on its official website. PHAs are also encouraged to provide each resident council a copy of its 5-Year and Annual Plan.

PHA Plan Elements. (24 CFR 903.7)

1. **Eligibility, Selection and Admissions Policies, including Deconcentration and Wait List Procedures.** Describe the PHA's policies that govern resident or tenant eligibility, selection and admission including admission preferences for both public housing and HCV and unit assignment policies for public housing; and procedures for maintaining waiting lists for admission to public housing and address any site-based waiting lists.

2. **Financial Resources.** A statement of financial resources, including a listing by general categories, of the PHA's anticipated resources, such as PHA Operating, Capital and other anticipated Federal resources available to the PHA, as well as tenant rents and other income available to support public housing or tenant-based assistance. The statement also should include the non-Federal sources of funds supporting each Federal program, and state the planned use for the resources.

3. **Rent Determination.** A statement of the policies of the PHA governing rents charged for public housing and HCV dwelling units.

4. **Operation and Management.** A statement of the rules, standards, and policies of the PHA governing maintenance management of housing owned, assisted, or operated by the public housing agency (which shall include measures necessary for the prevention or eradication of pest infestation, including cockroaches), and management of the PHA and programs of the PHA.

5. **Grievance Procedures.** A description of the grievance and informal hearing and review procedures that the PHA makes available to its residents and applicants.

6. **Designated Housing for Elderly and Disabled Families.** With respect to public housing projects owned, assisted, or operated by the PHA, describe any projects (or portions thereof), in the upcoming fiscal year, that the PHA has designated or will apply for designation for occupancy by elderly and disabled families. The description shall include the following information: 1) development name and number; 2) designation type; 3) application status; 4) date the designation was approved, submitted, or planned for submission, and; 5) the number of units affected.

7. **Community Service and Self-Sufficiency.** A description of: (1) Any programs relating to services and amenities provided or offered to assisted families; (2) Any policies or programs of the PHA for the enhancement of the economic and social self-sufficiency of assisted families, including programs under Section 3 and FSS; (3) How the PHA will comply with the requirements of community service and treatment of income changes resulting from welfare program requirements. **(Note: applies to only public housing).**

8. **Safety and Crime Prevention.** For public housing only, describe the PHA's plan for safety and crime prevention to ensure the safety of the public housing residents. The statement must include: (i) A description of the need for measures to ensure the safety of public housing residents; (ii) A description of any crime prevention activities conducted or to be conducted by the PHA; and (iii) A description of the coordination between the PHA and the

appropriate police precincts for carrying out crime prevention measures and activities.

9. **Pets.** A statement describing the PHAs policies and requirements pertaining to the ownership of pets in public housing.
10. **Civil Rights Certification.** A PHA will be considered in compliance with the Civil Rights and AFFH Certification if: it can document that it examines its programs and proposed programs to identify any impediments to fair housing choice within those programs; addresses those impediments in a reasonable fashion in view of the resources available; works with the local jurisdiction to implement any of the jurisdiction's initiatives to affirmatively further fair housing; and assures that the annual plan is consistent with any applicable Consolidated Plan for its jurisdiction.
11. **Fiscal Year Audit.** The results of the most recent fiscal year audit for the PHA.
12. **Asset Management.** A statement of how the agency will carry out its asset management functions with respect to the public housing inventory of the agency, including how the agency will plan for the long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs for such inventory.
13. **Violence Against Women Act (VAWA).** A description of: 1) Any activities, services, or programs provided or offered by an agency, either directly or in partnership with other service providers, to child or adult victims of domestic violence, dating violence, sexual assault, or stalking; 2) Any activities, services, or programs provided or offered by a PHA that helps child and adult victims of domestic violence, dating violence, sexual assault, or stalking, to obtain or maintain housing; and 3) Any activities, services, or programs provided or offered by a public housing agency to prevent domestic violence, dating violence, sexual assault, and stalking, or to enhance victim safety in assisted families.

7.0 Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers

- (a) **Hope VI or Mixed Finance Modernization or Development.** 1) A description of any housing (including project number (if known) and unit count) for which the PHA will apply for HOPE VI or Mixed Finance Modernization or Development; and 2) A timetable for the submission of applications or proposals. The application and approval process for Hope VI, Mixed Finance Modernization or Development, is a separate process. See guidance on HUD's website at: <http://www.hud.gov/offices/pih/programs/ph/hope6/index.cfm>
- (b) **Demolition and/or Disposition.** With respect to public housing projects owned by the PHA and subject to ACCs under the Act: (1) A description of any housing (including project number and unit numbers [or addresses]), and the number of affected units along with their sizes and accessibility features) for which the PHA will apply or is currently pending for demolition or disposition; and (2) A timetable for the demolition or disposition. The application and approval process for demolition and/or disposition is a separate process. See guidance on HUD's website at: http://www.hud.gov/offices/pih/centers/sac/demo_dispo/index.cfm
Note: This statement must be submitted to the extent that **approved and/or pending** demolition and/or disposition has changed.

- (c) **Conversion of Public Housing.** With respect to public housing owned by a PHA: 1) A description of any building or buildings (including project number and unit count) that the PHA is required to convert to tenant-based assistance or that the public housing agency plans to voluntarily convert; 2) An analysis of the projects or buildings required to be converted; and 3) A statement of the amount of assistance received under this chapter to be used for rental assistance or other housing assistance in connection with such conversion. See guidance on HUD's website at: <http://www.hud.gov/offices/pih/centers/sac/conversion.cfm>
- (d) **Homeownership.** A description of any homeownership (including project number and unit count) administered by the agency or for which the PHA has applied or will apply for approval.
- (e) **Project-based Vouchers.** If the PHA wishes to use the project-based voucher program, a statement of the projected number of project-based units and general locations and how project basing would be consistent with its PHA Plan.

8.0 Capital Improvements. This section provides information on a PHA's Capital Fund Program. With respect to public housing projects owned, assisted, or operated by the public housing agency, a plan describing the capital improvements necessary to ensure long-term physical and social viability of the projects must be completed along with the required forms. Items identified in 8.1 through 8.3, must be signed where directed and transmitted electronically along with the PHA's Annual Plan submission.

8.1 Capital Fund Program Annual Statement/Performance and Evaluation Report. PHAs must complete the *Capital Fund Program Annual Statement/Performance and Evaluation Report* (form HUD-50075.1), for each Capital Fund Program (CFP) to be undertaken with the current year's CFP funds or with CFFP proceeds. Additionally, the form shall be used for the following purposes:

- (a) To submit the initial budget for a new grant or CFFP;
- (b) To report on the Performance and Evaluation Report progress on any open grants previously funded or CFFP; and
- (c) To record a budget revision on a previously approved open grant or CFFP, e.g., additions or deletions of work items, modification of budgeted amounts that have been undertaken since the submission of the last Annual Plan. The Capital Fund Program Annual Statement/Performance and Evaluation Report must be submitted annually.

Additionally, PHAs shall complete the Performance and Evaluation Report section (see footnote 2) of the *Capital Fund Program Annual Statement/Performance and Evaluation* (form HUD-50075.1), at the following times:

1. At the end of the program year; until the program is completed or all funds are expended;
2. When revisions to the Annual Statement are made, which do not require prior HUD approval, (e.g., expenditures for emergency work, revisions resulting from the PHAs application of fungibility); and
3. Upon completion or termination of the activities funded in a specific capital fund program year.

8.2 Capital Fund Program Five-Year Action Plan

PHAs must submit the *Capital Fund Program Five-Year Action Plan* (form HUD-50075.2) for the entire PHA portfolio for the first year of participation in the CFP and annual update thereafter to eliminate the previous year and to add a new fifth year (rolling

basis) so that the form always covers the present five-year period beginning with the current year.

8.3 Capital Fund Financing Program (CFFP). Separate, written HUD approval is required if the PHA proposes to pledge any portion of its CFP/RHF funds to repay debt incurred to finance capital improvements. The PHA must identify in its Annual and 5-year capital plans the amount of the annual payments required to service the debt. The PHA must also submit an annual statement detailing the use of the CFFP proceeds. See guidance on HUD's website at:

<http://www.hud.gov/offices/pih/programs/ph/capfund/cffp.cfm>

9.0 Housing Needs. Provide a statement of the housing needs of families residing in the jurisdiction served by the PHA and the means by which the PHA intends, to the maximum extent practicable, to address those needs. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**

9.1 Strategy for Addressing Housing Needs. Provide a description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**

10.0 Additional Information. Describe the following, as well as any additional information requested by HUD:

- (a) **Progress in Meeting Mission and Goals.** PHAs must include (i) a statement of the PHAs progress in meeting the mission and goals described in the 5-Year Plan; (ii) the basic criteria the PHA will use for determining a significant amendment from its 5-year Plan; and a significant amendment or modification to its 5-Year Plan and Annual Plan. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**
- (b) **Significant Amendment and Substantial Deviation/Modification.** PHA must provide the definition of "significant amendment" and "substantial deviation/modification". **(Note: Standard and Troubled**

PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan.)

- (c) PHAs must include or reference any applicable memorandum of agreement with HUD or any plan to improve performance. **(Note: Standard and Troubled PHAs complete annually).**

11.0 Required Submission for HUD Field Office Review. In order to be a complete package, PHAs must submit items (a) through (g), with signature by mail or electronically with scanned signatures. Items (h) and (i) shall be submitted electronically as an attachment to the PHA Plan.

- (a) Form HUD-50077, *PHA Certifications of Compliance with the PHA Plans and Related Regulations*
- (b) Form HUD-50070, *Certification for a Drug-Free Workplace (PHAs receiving CFP grants only)*
- (c) Form HUD-50071, *Certification of Payments to Influence Federal Transactions (PHAs receiving CFP grants only)*
- (d) Form SF-LLL, *Disclosure of Lobbying Activities (PHAs receiving CFP grants only)*
- (e) Form SF-LLL-A, *Disclosure of Lobbying Activities Continuation Sheet (PHAs receiving CFP grants only)*
- (f) Resident Advisory Board (RAB) comments.
- (g) Challenged Elements. Include any element(s) of the PHA Plan that is challenged.
- (h) Form HUD-50075.1, *Capital Fund Program Annual Statement/Performance and Evaluation Report (Must be attached electronically for PHAs receiving CFP grants only)*. See instructions in 8.1.
- (i) Form HUD-50075.2, *Capital Fund Program Five-Year Action Plan (Must be attached electronically for PHAs receiving CFP grants only)*. See instructions in 8.2.